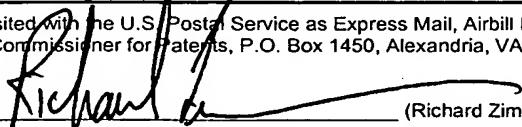


Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>UTILITY</b> <b>PATENT APPLICATION</b> <b>TRANSMITTAL</b> <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>		<b>Attorney Docket No.</b> 28569/38510A <b>First Inventor</b> Mingming Fang <b>Title</b> CHEMICAL-MECHANICAL POLISHING (CMP) SLURRY AND METHOD OF PLANARIZING COMPUTER MEMORY DISK SURFACES <b>Express Mail Label No.</b> EV 340912410 US <span style="float: right; text-align: right;">U.S. PTO 13709 10/1/2003 111403</span>																																																																				
<b>APPLICATION ELEMENTS</b> <small>See MPEP chapter 600 concerning utility patent application contents.</small>		<b>ADDRESS TO:</b> MS Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450 <span style="float: right;">22264 10/1/2003</span>																																																																				
<table border="0" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">         1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)  <small>(Submit an original, and a duplicate for fee processing)</small> </td> <td style="width: 50%;">         7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or          Computer Program (Appendix)       </td> </tr> <tr> <td>2. <input type="checkbox"/> Applicant claims small entity status.  <small>See 37 CFR 1.27.</small></td> <td>8. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission  <small>(if applicable, all necessary)</small> </td> </tr> <tr> <td>3. <input checked="" type="checkbox"/> Specification  <small>(preferred arrangement set forth below)</small> <ul style="list-style-type: none"> <li>- Descriptive title of the invention</li> <li>- Cross Reference to Related Applications</li> <li>- Statement Regarding Fed sponsored R &amp; D</li> <li>- Reference to sequence listing, a table, or a computer program listing appendix</li> <li>- Background of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings (if filed)</li> <li>- Detailed Description</li> <li>- Claim(s)</li> <li>- Abstract of the Disclosure</li> </ul> </td> <td>9. <input type="checkbox"/> Computer Readable Form (CRF)</td> </tr> <tr> <td>4. <input type="checkbox"/> Drawing(s) (35 U.S.C. 113)</td> <td style="text-align: center; vertical-align: middle;"> <small>[Total Pages</small> <b>14</b> <small>]</small> </td> <td>b. <input type="checkbox"/> Specification Sequence Listing on:           <ul style="list-style-type: none"> <li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li> <li>ii. <input type="checkbox"/> Paper</li> </ul> </td> </tr> <tr> <td>5. Oath or Declaration</td> <td style="text-align: center; vertical-align: middle;"> <small>[Total Sheets</small> <b>2</b> <small>]</small> </td> <td>c. <input type="checkbox"/> Statements verifying identity of above copies</td> </tr> <tr> <td>a. <input type="checkbox"/> Newly executed (original or copy)</td> <td colspan="3" style="text-align: center; vertical-align: middle;"> <b>ACCOMPANYING APPLICATION PARTS</b> </td> </tr> <tr> <td>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))  <small>(for continuation/divisional with Box 18 completed)</small></td> <td>9. <input type="checkbox"/> Assignment Papers (cover sheet &amp; document(s))</td> </tr> <tr> <td>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b>  <small>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</small></td> <td>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement  <small>(when there is an assignee)</small> </td> <td><input type="checkbox"/> Power of Attorney</td> </tr> <tr> <td>6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</td> <td>11. <input type="checkbox"/> English Translation Document (if applicable)</td> </tr> <tr> <td colspan="4" style="text-align: center; vertical-align: middle;">         18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:  <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input checked="" type="checkbox"/> Continuation-in-part (CIP) of prior application No.: <b>10/677433</b>          Prior application information: Examiner <b>Not Yet Assigned</b> Art Unit: <b>N/A</b> </td> </tr> <tr> <td colspan="4" style="text-align: center; vertical-align: middle;">         For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.       </td> </tr> <tr> <td colspan="4" style="text-align: center; vertical-align: middle;"> <b>19. CORRESPONDENCE ADDRESS</b> </td> </tr> <tr> <td colspan="2" style="padding: 5px;"> <input checked="" type="checkbox"/> Customer Number: <b>04743</b> </td> <td colspan="2" style="padding: 5px;">         OR <input type="checkbox"/> Correspondence address below       </td> </tr> <tr> <td>Name</td> <td colspan="3">MARSHALL, GERSTEIN &amp; BORUN LLP Richard H. Anderson</td> </tr> <tr> <td>Address</td> <td colspan="3">233 S. Wacker Drive, Suite 6300 Sears Tower</td> </tr> <tr> <td>City</td> <td>Chicago</td> <td>State</td> <td>IL</td> </tr> <tr> <td>Country</td> <td>US</td> <td>Telephone</td> <td>(312) 474-6300</td> </tr> <tr> <td colspan="2">Name (Print/Type)</td> <td colspan="2">Registration No. (Attorney/Agent)</td> </tr> <tr> <td colspan="2">Richard H. Anderson</td> <td colspan="2">26,526</td> </tr> <tr> <td colspan="2">Signature</td> <td>Date</td> <td>November 14, 2003</td> </tr> </table>				1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <small>(Submit an original, and a duplicate for fee processing)</small>	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)	2. <input type="checkbox"/> Applicant claims small entity status. <small>See 37 CFR 1.27.</small>	8. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission <small>(if applicable, all necessary)</small>	3. <input checked="" type="checkbox"/> Specification <small>(preferred arrangement set forth below)</small> <ul style="list-style-type: none"> <li>- Descriptive title of the invention</li> <li>- Cross Reference to Related Applications</li> <li>- Statement Regarding Fed sponsored R &amp; D</li> <li>- Reference to sequence listing, a table, or a computer program listing appendix</li> <li>- Background of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings (if filed)</li> <li>- Detailed Description</li> <li>- Claim(s)</li> <li>- Abstract of the Disclosure</li> </ul>	9. <input type="checkbox"/> Computer Readable Form (CRF)	4. <input type="checkbox"/> Drawing(s) (35 U.S.C. 113)	<small>[Total Pages</small> <b>14</b> <small>]</small>	b. <input type="checkbox"/> Specification Sequence Listing on: <ul style="list-style-type: none"> <li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li> <li>ii. <input type="checkbox"/> Paper</li> </ul>	5. 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Dated: November 14, 2003

Signature: 

(Richard Zimmermann)

111403

04772 U.S. PTO

PTO/SB/17 (10-03)

Approved for use through 7/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003, Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 770.00)

Complete if Known	
Application Number	Not Yet Assigned
Filing Date	Concurrently Herewith
First Named Inventor	Mingming Fang
Examiner Name	Not Yet Assigned
Art Unit	Not Yet Assigned
Attorney Docket No.	28569/38510A

## METHOD OF PAYMENT (check all that apply)

Check  Credit Card  Money Order  Other  None

Deposit Account:

Deposit Account Number	13-2855
Deposit Account Name	MARSHALL, GERSTEIN & BORUN LLP

The Director is authorized to: (check all that apply)

Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) or any underpayment of fee(s)  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
1001 770	2001 385	Utility filing fee	770.00
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1) (\$)		770.00	

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims	20	-20** =	
Independent Claims	2	-3** =	
Multiple Dependent			

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
1202 18	2202 9	Claims in excess of 20	
1201 86	2201 43	Independent claims in excess of 3	
1203 290	2203 145	Multiple dependent claim, if not paid	
1204 86	2204 43	** Reissue independent claims over original patent	
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2) (\$)		0.00	

\*\*or number previously paid, if greater; For Reissues, see above

## 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 420	2252 210	Extension for reply within second month	
1253 950	2253 475	Extension for reply within third month	
1254 1,480	2254 740	Extension for reply within fourth month	
1255 2,010	2255 1,005	Extension for reply within fifth month	
1401 330	2401 165	Notice of Appeal	
1402 330	2402 165	Filing a brief in support of an appeal	
1403 290	2403 145	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,330	2453 665	Petition to revive - unintentional	
1501 1,330	2501 665	Utility issue fee (or reissue)	
1502 480	2502 240	Design issue fee	
1503 640	2503 320	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	
1801 770	2801 385	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	
Other fee (specify)			
*Reduced by Basic Filing Fee Paid			
SUBTOTAL (3) (\$)		0.00	

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

0.00

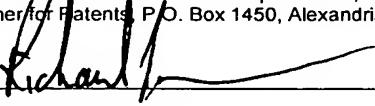
## SUBMITTED BY

(Complete if applicable)

Name (Print/Type)	Richard H. Anderson	Registration No. (Attorney/Agent)	26,526	Telephone	(312) 474-9556
Signature	<i>Richard H. Anderson</i>			Date	November 14, 2003

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Dated: November 14, 2003

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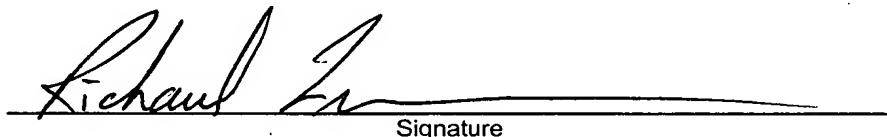
Attorney Docket No.: 28569/38510A

## **Certificate of Express Mailing Under 37 CFR 1.10**

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Alexandria, VA 22313-1450

on November 14, 2003  
Date



\_\_\_\_\_  
Signature

Richard Zimmermann  
Typed or printed name of person signing Certificate

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Application Data Sheet